

11-19-04

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))					Docket No. 14321.55	
In Re Application Of: Koichi Takiguchi, et al.						
Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.	
10/614,637	07/07/2003	Unassigned	022913	2874	7656	
Title: CHARACTERISTIC ADJUSTMENT METHOD OF MULTISTAGE MACH-ZEHNDER INTERFEROMETER TYPE OPTICAL CIRCUIT						
<p style="text-align: center;">Address to:</p> <p style="text-align: center;">Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450</p> <p style="text-align: center;">37 CFR 1.97(b)</p> <p>1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.</p> <p style="text-align: center;">37 CFR 1.97(c)</p> <p>2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:</p> <p style="margin-left: 40px;"><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</p> <p style="text-align: center; margin-left: 100px;">OR</p> <p style="margin-left: 40px;"><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</p>						

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
14321.55

In Re Application: Koichi Takiguchi, et al.

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/614,637	07/07/2003	Unassigned	022913	2874	7656

Title: **CHARACTERISTIC ADJUSTMENT METHOD OF MULTISTAGE MACH-ZEHNDER
TYPE OPTICAL CIRCUIT**

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
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WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on _____

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Signature of Person Mailing Correspondence

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*This certificate may only be used if paying by deposit account.


Signature

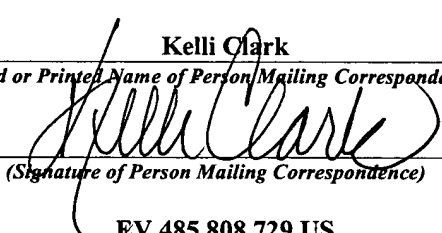
Dated: November 18, 2004

ERIC M. KAMERATH

Registration No. 46,081

Customer No. 022913

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Keiichi Takiguchi, et al.			Docket No. 14321.55	
Application No. PATENT & TRADEMARK OFFICE NOV 18 2004	Filing Date 07/07/2003	Examiner Unassigned	Customer No. 022913	Group Art Unit 2874
Invention: CHARACTERISTIC ADJUSTMENT METHOD OF MULTISTAGE MACH-ZEHNDER INTERFEROMETER TYPE OPTICAL CIRCUIT				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 5px;"><p>Transmittal Letter (2 pgs, in triplicate); Supplemental Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (2 pgs); Legible Copies of Five (5) Cited References; postcard; and Certificate of Express Mailing Label No. EV 485 808 729 US</p></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <p style="text-align: center;"><u>November 18, 2004</u> <i>(Date)</i></p> <div style="text-align: center;"><p><u>Kelli Clark</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p><p> <i>(Signature of Person Mailing Correspondence)</i></p><p><u>EV 485 808 729 US</u> <i>("Express Mail" Mailing Label Number)</i></p></div>				
<p style="text-align: center;">Note: Each paper must have its own certificate of mailing.</p>				

Docket No: 14321.55

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof that is not a US patent document is also enclosed.

Statement of Relevance of References Listed
Unaccompanied by English Translation
Under 37 CFR § 1.98(a)(3)

In accordance with 37 CFR § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

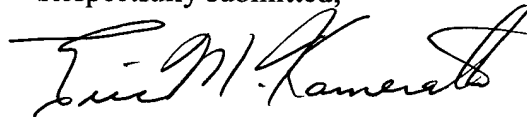
Japanese Publication No. JP 07209090 discloses:

PURPOSE: To provide an optical circuit evaluating method, which can accurately measure phase change and optical power distribution quantity to be given to the light transmitting each optical wave guide path inside of an interference type optical circuit having optical wave guide paths at a different length from each other.

CONSTITUTION: A testing interference type optical circuit is located inside an interferometer using a light source having a coherent length shorter than a difference of the optical path length between any two optical wave guide paths of the optical circuit to generate the separate beat signal (s1), and each beat signal is extracted as a function of a difference of optical path length (s2), and Fourier transformation is performed (s3) to obtain each phase and each amplitude. Phase and optical power distribution quantity in each optical wave guide path is thereby obtained.

Dated this 18th day of November, 2004.

Respectfully submitted,



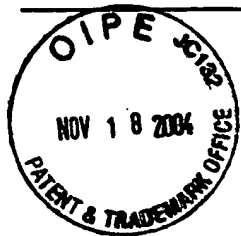
ERIC M. KAMERATH
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Registration No. 46,081
Customer No. 022913

EMK:kc

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Applicant: Koichi Takiguchi, et al.
 Serial No.: 10/614,637
 Filing Date: 07/07/2003
 For: CHARACTERISTIC ADJUSTMENT METHOD OF MULTISTAGE MACH-
 ZEHNDER INTERFEROMETER TYPE OPTICAL CIRCUIT

Confirmation No.: 7656
 Att'y Docket No.: 14321.55
 Group: 2874



INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

Examiner Initial*	Document Number	Issue Date	Name
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Foreign Patent Documents

Examiner Initial*	Document Number	Publication Date	Country or Patent Office	Translation
_____ 1	JP 7209090	11/08/1995	Japan	Abstract only

Other Documents

(including author, title, pertinent pages, etc.)

Examiner
Initial*

- | | |
|---------|---|
| _____ 2 | OFFREIN, B. J., et al., "Adaptive Gain Equalizer in High-Index-Contrast SiON Technology," <i>IEEE Photonics Technology Letters</i> , IEEE Inc., New York, US, Vol. 12, No. 5, May 2000, pp. 504-506 |
| _____ 3 | WACOGNE, B., et al., "Double Security Level in a Telecommunication System Based on Phase Coding and False Data Transmission," <i>Journal of Lightwave Technology</i> , IEEE, New York, US, Vol. 14, No. 5, May 1996, pp. 665-670 |
| _____ 4 | TAKIGUCHI, K., et al., "Variable Group-Delay Dispersion Equalizer Using Lattice-Form Programmable Optical Filter on Planar Lightwave Circuit," <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , IEEE Service Center, US, Vol. 2, No. 2, June 1996, pp. 270-276 |
| _____ 5 | TAKADA, K., et al., "Measurement of phase error distributions in silica-based arrayed-waveguide grating multiplexers by using Fourier transform spectroscopy," <i>Electronic Letters</i> , IEE Stevenage, GB, Vol. 30, No. 20, 29 September 1994, pp. 1671-1672 |

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Koichi Takiguchi, et al.

Confirmation No.: 7656

Serial No.: 10/614,637

Att'y Docket No.: 14321.55

Filing Date: 07/07/2003

Group: 2874

For: CHARACTERISTIC ADJUSTMENT METHOD OF MULTISTAGE MACH-
ZEHNDER INTERFEROMETER TYPE OPTICAL CIRCUIT

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
